

Corrective Action Tracking System (CATS) Primer

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CATS is an online database used to track Corrective Actions for issues. CATS is most often used for safety issues, and that is the focus of this Primer. Do not hesitate to make entries in CATS. It shows that we have an active and functional safety system at the Lab. If an auditor spots a safety issue, an excellent response is “Yes, we are aware of it, and we are tracking the Corrective Action in CATS.”

In summary, you must 1) enter the safety issue, 2) Save, 3) enter one or more Corrective Actions, 4) Save, and finally 5) Route for approvals. If a previously made CATS entry has a status of “New Entry”, then something is not complete. Most likely a Corrective Action was not entered or the Issue was not Routed for approval.

For non-safety maintenance issues (e.g. the heating system isn’t working), submit a Work Request on the Facilities Work Request website. (See A-Z index.) You can optionally track non-safety maintenance issues in CATS, but don’t use CATS to submit a non-safety Work Request to Facilities. (i.e. don’t check the “Work Request Req’d?” box in a non-safety maintenance Corrective Action.)

Following are step-by-step instructions for the most common CATS entries. Fields, check boxes, and buttons not mentioned below can most likely be ignored or are optional. Further details can be found by clicking on the “Help” button on the CATS website.

Login at <https://cats.lbl.gov/>.

Immediately corrected issues:

1. In left column, select “Immed. Corrected Issues”, and then “Add”.
2. Issue Category: Most common in EETD are Chemical, Electrical, Gases, Housekeeping, Labeling/Signage, PPE, and Seismic.
3. Location: Enter Bldg. & Room (e.g. 90-2056B).
4. Description: Identify the issue and the quick fix that resolved it.
5. Date: Enter the date the issue/condition was immediately corrected.
6. Click on the Save button.

Issues not immediately corrected:

1. In left column, select “Add New Issue”.
2. Issue Type: Almost always select “Worker Safety & Health”.
3. Division: Select “EE – Environmental Energy Tech”.
4. Discovery Date: Use format MM/DD/YYYY.
5. Enter Building, Room, and, if helpful, a Location Comment within the room (e.g. Hood). Then click on the “Add Location” button.
 - a. If the issue involves more than one room, select additional Building and Room numbers and click the “Add Location” button each time.
6. Issue Category: Most common in EETD are Chemical, Electrical, Gases, Housekeeping, Labeling/Signage, PPE, and Seismic.
7. Risk Level: Suggest consulting with DSC or other EH&S staff if you believe your issue is above the “Medium” Risk Level.

- a. “De Minimis” Risk Level is used for issues that have essentially no concern and have no violation of a regulation. Use for recommended “good work practices”. (If the De Minimis Risk Level is chosen, an additional “Justification” field will be created to enter a justification statement for the De Minimis choice.)
 - b. “Low” Risk Level is appropriate for the majority of issues. Typical Due Date for the Corrective Action is 2-months after discovery or CATS entry date.
 - c. “Medium” Risk Level is for more significant issues with a greater potential for disabling injury; or significant adverse environmental, public, or property damage impact. Typical Corrective Action Due Date is 10 workdays after discovery.
 - d. “High” Risk Level is for significant adverse conditions, typically needing immediate stop work. Typical Corrective Action Due Date is 24 hours after discovery.
8. Assessment Type: Typically use “Internal Self-Assessment” or “Safety Walk-around”.
9. Issue Description: For sorting and tracking purposes, please begin the Issue Description with “Bldg-Room (PI)”, e.g. “50A-4133 (Chu)”. Use sufficient detail to allow confirmation that the issue has been resolved.
10. Trend Code: Select whatever seems most appropriate.
11. Program/Project: For sorting and tracking purposes, enter relevant Department (if applicable), e.g. AET, AS, BT, EA, IE, or Div.
12. Review/Approval: Generally do not remove or add reviewers. Use the defaults.
13. Click on the “Save” button at the bottom of the window. (At this point, an Issue Number will be automatically assigned.)

14. Corrective Action(s): Click on the “Add” button. (A new window will open.)
15. Corrective Action: Enter sufficient detail so it is understood what needs to be done to resolve the issue.
16. Due Date: Enter a reasonable date to complete the Corrective Action. Use guidance in Step 7, Risk Level, above. Suggestion: Be generous to avoid Corrective Action becoming overdue.
17. Responsible Person: Enter the person most responsible for **overseeing** the Corrective Action. This is typically the PI, laboratory Work Leader, or Area Safety Leader. (This person is not necessarily financially responsible for the Corrective Action, and could be someone from another Division.)
18. Work Request Req’d?: Check this box if you need a Facilities Work Request to complete this Corrective Action. You will be asked to either identify the request as Institutional (i.e. pertaining to services, equipment, or physical space not owned or operated by a Division, such as ventilation or electrical distribution systems), or provide a Project ID number.
19. Click on the “Save” button at the bottom of the Corrective Action window. You can now close this Corrective Action window.
20. Click on the Corrective Action(s) “Refresh” button in the CATS Issue window. This will populate the newly entered Corrective Action information.

21. If multiple Corrective Actions are necessary to resolve an issue, repeat steps 14-20. (e.g. a slippery floor inside a building entrance during wet weather may have two Corrective Actions: obtain a plastic bag dispenser for umbrellas, and purchase a non-slip carpet for inside the doorway.) Different Corrective Actions for the same issue can have different Responsible Persons.

22. Click on the “Route” button at the bottom of the CATS Issue window. This will change the Status from “New Entry” to “Pending Approval”.

Closing Corrective Actions

1. Click on the “My Corrective Actions” button in the left column. This will list all Corrective Actions you are responsible for that are not closed. (To view your closed corrective actions, click on the “Search Corrective Actions” button.)
2. Click on the “View” button for the Corrective Action that you want to close.
3. Completed Date: Enter the date in MM/DD/YYYY format.
4. Click on the “Save” button at the bottom of the Corrective Action window. You can now close this Corrective Action window.
5. Click on the “Save” button in the CATS Issue window. The Corrective Action Status should now show “Closed”. When the last Corrective Action has been closed, the Issue Status will also change to “Closed”.

Acronyms:

CATS	Corrective Action Tracking System
DSC	Division Safety Coordinator
EETD	Environmental Energy Technologies Division
EH&S	Environment Health and Safety
PI	Principal Investigator
PPE	Personal Protective Equipment